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Attorneys for Apex Clearing Corp.

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO DIVISION

SABRINA CLAPP and DENISE REDFIELD,
individually and on behalf of others similarly
situated,

Plaintiffs,

v.

ALLY FINANCIAL INC.;
ALPACA SECURITIES LLC;
CASH APP INVESTING LLC;
SQUARE INC.;
DOUGH LLC;
MORGAN STANLEY SMITH BARNEY
LLC;
E*TRADE SECURITIES LLC;
E*TRADE FINANCIAL CORPORATION;
E*TRADE FINANCIAL HOLDINGS, LLC;

Case No. 3:21-cv-00896-VC

**CIVIL LOCAL RULE 3-15
CERTIFICATION OF
INTERESTED ENTITIES OR
PERSONS FOR DEFENDANT
APEX CLEARING
CORPORATION**

ETORO USA SECURITIES, INC.;
 FREETRADE, LTD.;
 INTERACTIVE BROKERS LLC;
 M1 FINANCE, LLC;
 OPEN TO THE PUBLIC INVESTING, INC.;
 ROBINHOOD FINANCIAL, LLC;
 ROBINHOOD MARKETS, INC.;
 ROBINHOOD SECURITIES, LLC;
 IG GROUP HOLDINGS PLC;
 TASTYWORKS, INC.;
 TD AMERITRADE, INC.;
 THE CHARLES SCHWAB CORPORATION;
 CHARLES SCHWAB & CO. INC.;
 FF TRADE REPUBLIC GROWTH, LLC;
 TRADING 212 LTD.;
 TRADING 212 UK LTD.;
 WEBULL FINANCIAL LLC;
 FUMI HOLDINGS, INC.;
 STASH FINANCIAL, INC.;
 BARCLAYS BANK PLC;
 CITADEL ENTERPRISE AMERICAS, LLC;
 CITADEL SECURITIES LLC;
 MELVIN CAPITAL MANAGEMENT LP;
 SEQUOIA CAPITAL OPERATIONS LLC;
 APEX CLEARING CORPORATION;
 THE DEPOSITORY TRUST & CLEARING
 CORPORATION,

Defendants.

CERTIFICATION OF INTERESTED ENTITIES OR PERSONS

Pursuant to Civil L.R. 3-15, the undersigned certifies that the following listed persons, associations of persons, firms, partnerships, corporations (including parent corporations) or other entities (i) have a financial interest in the subject matter in controversy or in a party to the proceeding, or (ii) have a non-financial interest in that subject matter or in a party that could be substantially affected by the outcome of this proceeding:

1. Apex Clearing Holdings LLC
2. PEAK6 Investments LLC

Respectfully submitted,

Dated: March 5, 2021

By: /s/ Heather M. Burke
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CERTIFICATE OF SERVICE

I hereby certify that on March 5, 2021, the within document was filed with the Clerk of the Court using CM/ECF, which will send notification of such filing to the attorneys of record in this case.

Executed: March 5, 2021

/s/ Heather M. Burke

Heather M. Burke